



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE 278) submitted by Mr. Joel Beauvais in connection with his nomination to be the Assistant Administrator of the Office of Water of the U.S. Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), he will not participate personally and substantially in any particular matter in which he knows that he has a financial interest directly and predictably affected by the matter, or in which he knows that a person whose interests are imputed to him has a financial interest directly and predictably affected by the matter, unless he first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualifies for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). He understands that the interests of the following persons are imputed to him: any spouse or minor child of his; any general partner of a partnership in which he is a limited or general partner; any organization in which he serves as officer, director, trustee, general partner or employee; and any person or organization with which he is negotiating or has an arrangement concerning prospective employment.

He understands that as an appointee he must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that he previously signed and that he will be bound by the requirements and restrictions therein in addition to the commitments he made in his ethics agreement.

He has been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

I therefore determine that Mr. Beauvais's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "K S Minoli". The signature is stylized with a large "K" and a cursive "S".

Kevin S. Minoli
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF WATER

Mr. Kevin S. Minoli
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Mr. Minoli:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for the Office of Water of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that I previously signed and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely yours,

A handwritten signature in black ink, which appears to read "Joel Beauvais", is written over a horizontal line.

Joel Beauvais



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

NOV 13 2013

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE-278) submitted by Dr. Thomas Burke in connection with his nomination to be the Assistant Administrator for Research and Development of the Environmental Protection Agency. Dr. Burke's letter to me describes his proposed ethics agreement and the steps that he will take if confirmed as Assistant Administrator for Research and Development of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), he will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to him, unless he first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualifies for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). He understands that the interests of the following persons are imputed to him: any spouse or minor child of his; any general partner of a partnership in which he is a limited or general partner; any organization in which he serves as officer, director, trustee, general partner or employee; and any person or organization with which he is negotiating or have an arrangement concerning prospective employment.

If he relies on a de minimis exemption under 5 C.F.R. § 2640.202 with regard to any of his financial interests, he will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the de minimis threshold, he will not participate in the particular matter, unless he first obtains a written waiver under 18 U.S.C. § 208(b)(1).

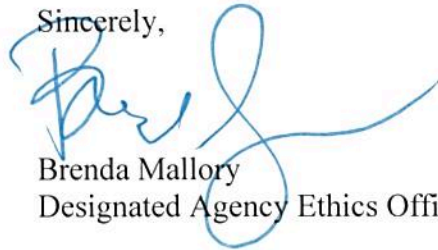
He will take an unpaid leave of absence from his position as Professor at Johns Hopkins University. He will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Johns Hopkins University, unless he first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualifies for either the exemption at 5 C.F.R. § 2640.203(b) or another regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

He understands that as an appointee he will be required to sign the Ethics Pledge (Executive Order 13490) and that he will be bound by the requirements and restrictions therein in addition to the commitments he has made in this and any other ethics agreement.

He has been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

I therefore determine that Dr. Burke's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,



Brenda Mallory
Designated Agency Ethics Official

Enclosures

NOV 13 2013

Ms. Brenda Mallory
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Mallory:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for the Office of Research and Development of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will take an unpaid leave of absence from my position as Professor at Johns Hopkins University. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Johns Hopkins University, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for either the exemption at 5 C.F.R. § 2640.203(b) or another regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).


I understand that as an appointee I will be required to sign the Ethics Pledge (Executive Order 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,



Thomas A. Burke

TO: Lek Kadeli
FROM: Thomas A. Burke 
DATE: January 20, 2016
SUBJECT: Recusal from pending decision for proposed non-competitive award

This memo is in reference to a pending decision related to a proposed non-competitive award to the University of Washington to continue work on a large-scale epidemiology study. The Multi-Ethnic Study of Atherosclerosis and Air Pollution is designed to examine the relationship between air pollution exposures and the progression of cardiovascular disease over time. While the study is headquartered at the University of Washington, I understand that many other research institutions are also involved, including Johns Hopkins University.

Consistent with my ethics agreement, I must recuse myself from the decision related to this proposed non-competitive award since I cannot participate personally or substantially in any particular matter that has a direct and predictable effect on the financial interests of Johns Hopkins University.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JAN 21 2013

OFFICE OF
RESEARCH AND DEVELOPMENT

MEMORANDUM

SUBJECT: Recusal and Screening Arrangement

FROM: Thomas Burke
Deputy Assistant Administrator, Office of Research and Development
EPA Science Advisor

TO: Stan Meiburg
Deputy Administrator

This memorandum affirms my obligation to recuse from certain matters in which I have a financial interest, or a personal or business relationship. Because of my employment status with Johns Hopkins University (JHU), I am disqualified from participating personally and substantially in any particular matter that affects JHU as a specific party. I am also disqualified from participating personally and substantially in any particular matter of general applicability that is focused on the interests of the individual discrete and identifiable class of "all universities." If a particular matter affects all universities, such as grant proposals, then I cannot participate.

In order to ensure that I do not participate in matters relating to any of the entities listed above, and to adhere to the ethics agreement that I signed, I am confirming that I must take the following steps:

1. I have instructed Christian Routt, Deputy Chief of Staff and Assistant Deputy Ethics Official, to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve JHU.
2. If they determine that a particular matter will directly involve JHU as a specific party, then they will refer it for action or assignment to another, without my knowledge or involvement. If they identify a particular matter of general applicability that is focused on the interests of universities, then they will refer it for action or assignment to another, without my knowledge or involvement. In the event that they are unsure whether an issue is a particular matter from which I am recused, then they will consult with the Office of General Counsel's Ethics Office for a determination.
3. I will provide a copy of this memorandum to my principal subordinates with a copy to Justina Fugh, Senior Counsel for Ethics. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Christiane Routt without my knowledge or involvement.
4. In consultation with OGC/Ethics, I will revise and update my recusal memorandum whenever

warranted by changed circumstances, including changes in my financial interests, changes in my personal or business relationships.

5. In the event of any changes to this screening arrangement, I will provide a copy of the revised recusal memorandum to the appropriate supervisor, OGC/Ethics, and any principal subordinates.

cc: Lek Kadeli, Deputy Assistant Administrator
Christiane Routt, Deputy Chief of Staff and Assistant Deputy Ethics Official
Nathan Gentry, Scheduler and Assistant Deputy Ethics Official
Justina Fugh, Senior Counsel for Ethics




UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 6
1445 ROSS AVENUE, SUITE 1200
DALLAS, TX 75202-2733

MAR 26 2013

MEMORANDUM

SUBJECT: Recusal Statement and Screening Arrangement

FROM: Ron Curry
Regional Administrator 

TO: Bob Perciasepe
Acting Administrator

Recently, the Office of Inspector General's issued a formal draft report on its audit of the labor-charging practices at the New Mexico Environment Department. I received this report but recognized that I had served as the head of that department during the years reviewed by the IG's office. I consulted with the Office of General Counsel (OGC) and learned that I technically did not have a "covered relationship" with New Mexico any longer. Nevertheless, to avoid even the appearance of a loss of impartiality given my prior affiliation, I am recusing myself from participating in any way with respect to this audit or the Region's response or any follow-up activity.

In order to help ensure that I do not participate in this matter, I have taken or will take the following steps:

1. I understand from OGC that Sam Coleman, Deputy Regional Administrator, will participate and make decisions regarding this matter. I will instruct my immediate staff to refer this matter to him for action or assignment, without my knowledge or involvement.
2. I will provide Sam Coleman with a copy of this memorandum so that he may fully understand the purpose and scope of my recusal and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Sam Coleman to seek the assistance of the Regional Counsel and/or OGC's Ethics Office if he is ever uncertain about the terms of this recusal.
3. I will provide a copy of this memorandum to the relevant regional offices. I will also instruct my principal subordinates that all inquiries and comments involving this audit should be directed to Sam Coleman without my knowledge or involvement.
4. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
5. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, Sam Coleman, and any principal subordinates.

cc: Diane Thompson, Chief of Staff
Sam Coleman, Deputy Regional Administrator
Suzanne Murray, Regional Counsel
✓ Justina Fugh, Senior Counsel for Ethics



United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

SEP 26 2014

Kevin Minoli
Principal Deputy General Counsel and Designated
Agency Ethics Official
Environmental Protection Agency
Washington, DC 20460

Dear Ms. Mallory:

In response to your request of received on September 5, 2014, enclosed is Certificate of Divestiture OGE-2014-094 for Ann E. Dunkin, Senior Advisor to the Administrator, Office of the Administrator, Environmental Protection Agency. Please forward the original certificate to Ms. Dunkin. Also enclosed is a copy of the certificate for your files.

If there are any questions, you may contact Stephanie Nonluecha, Program Analyst, at 202-482-9243.

Sincerely,

A handwritten signature in blue ink, which appears to read "David J. Apol", is written over a horizontal line.

David J. Apol
General Counsel

Enclosures



United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

CERTIFICATE OF DIVESTITURE

Certificate No. OGE-2014-094

ELIGIBLE PERSON: Ann E. Dunkin
Environmental Protection Agency

DATE OF ISSUANCE: SEP 26 2014

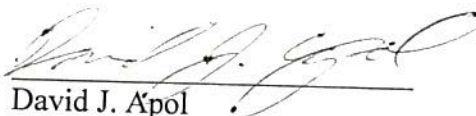
DIVESTITURE PROPERTY:

1300 shares, Apple Inc.

This Certificate of Divestiture is issued in accordance with section 1043 of the Internal Revenue Code of 1986 and 5 C.F.R. § 2634.1002 with respect to the specific property described above. I hereby determine that the divestiture of the described property is reasonably necessary to comply with 18 U.S.C. § 208, or other applicable Federal conflict of interest statutes, regulations, rules, or executive orders.

Note that section 1043 of the Internal Revenue Code and the rules of subpart J of 5 C.F.R. Part 2634 provide for nonrecognition of gain in the case of sales to comply with conflict of interest requirements. The rules of Subpart J relate to the issuance of Certificates of Divestiture and the permitted property into which a reinvestment must be made during the 60-day period beginning on the date of such a sale in order for nonrecognition to be permitted. Such reinvestments are called rollovers, and are limited to obligations of the United States and diversified investment funds as defined in 5 C.F.R. § 2634.1003. The substantive and procedural rules relating to the tax aspects of such sales and rollovers pursuant to the statutory scheme are subject to the jurisdiction of the Internal Revenue Service.

Eligible persons should seek the advice of their personal tax advisors for guidance as to the tax aspects of divestiture transactions and whether proposed acquisitions meet the requirements for permitted property. Internal Revenue Service regulations and other guidance should be consulted as to these matters. Internal Revenue Service requirements for reporting dispositions of property and making an election not to recognize gain under section 1043 (IRS Form 8824) must be followed by eligible persons wishing to make such an election.


David J. Apol
General Counsel

cc: DAEO, Environmental Protection Agency



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
Director
Suite 500
1201 New York Avenue, NW
Washington, DC 20005-3917

RE: Certificate of Divestiture Request for Ann Dunkin

Dear Mr. Shaub:

On behalf of the United States Environmental Protection Agency (EPA), I am writing to formally request a certificate of divestiture (CD) on behalf of Ann Dunkin, a noncareer employee in an Administratively Determined (AD) position at EPA Headquarters. Ms. Dunkin is a senior advisor to EPA's Administrator.

Ms. Dunkin's duties will include working on issues involving computer equipment vendors supplying EPA. The EPA Ethics Office has directed her to divest these assets because recusal would disqualify her from matters so central and critical to the performance of her official duties that her ability to perform the duties of her position would be materially impaired.

Enclosed in this request are the following documents:

- 1) A request for a certificate of divestiture;
- 2) The employee's request for a certificate of divestiture; and
- 3) The employee's public financial disclosure form.

If you have any further questions regarding this request, please feel free to contact Dan Fort at (202) 564-2200 or by email at fort.daniel@epa.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "K Minoli", is placed above the typed name.

Kevin Minoli
Principal Deputy General Counsel and
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

Office of Environmental
Information

MEMORANDUM

SUBJECT: Request for Certificate of Divestiture

FROM: Ann E. Dunkin
Senior Advisor to the Administrator

TO: Kevin Minoli
Principal Deputy General Counsel and
Designated Agency Ethics Official

Please request, on my behalf, a certificate of divestiture from the Office of Government Ethics (OGE) pursuant to section 1043 of the Internal Revenue Code, with respect the following:

1300 shares of Apple Inc.


The EPA Ethics Office notified me on August 11, 2014 of the final list of stocks I needed to divest of in order to remove any conflicts of interest. I have not worked on any particular matters and have recused myself from working on any particular matters that would directly and predictably affect the financial interests of these companies. Upon notification of the issuance or denial of these certificates from OGE, I will divest these interests.

I understand that such divestiture proceeds must be reinvested in "permitted property," as defined at 5 C.F.R. 2634.1003, during the 60-day period beginning on the date of the sale of the shares in order to take advantage of the non recognition of capital gains from my divestiture transaction.


Ann E. Dunkin

8.26.14
Date

REQUEST FOR A CERTIFICATE OF DIVESTITURE
(to be completed by the agency, not by the requesting employee)

requesting employee and position title: Ann E. Dunkin, Senior Advisor to the Administrator Office of the Administrator	employing agency and component: U.S. Environmental Protection Agency
agency point of contact: Daniel Fort - fort.daniel@epa.gov	telephone number for agency point of contact: (202) 564-2200
signature of Designated Agency Ethics Official: 	date: 8/28/14

For complete instructions on requesting a Certificate of Divestiture, please review 5 C.F.R. part 2634, subpart J.

1. Provide the requested information about the property being divested and the owner(s) of that property. Indicate whether each property owner is one of the following: (a) a government employee; (b) a spouse, a minor child or a dependent child of a government employee; or (c) a trustee of a trust for the benefit of an eligible person. For stock, provide the number of shares of stock owned. For a partnership, provide the percentage of the partnership owned.

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
McDonald's Corp. Play Toys, LP	57 shares 12.24% interest	John A. Jones	self
General Electric, Co.	251 shares	John A. Jones (joint) Mary B. Jones	self spouse
The Home Depot, Inc.	165 shares	Mary B. Jones	spouse
Merck & Co., Inc.	33 shares	William C. Smith	trustee
Coca-Cola, Co.	55 shares	John A. Jones (as custodian) Robert D. Jones	self dependent child

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
Apple Inc.	1300 shares	Ann E. Dunkin	Self

If you need additional space to accommodate your responses please [click here](#) for a continuation page

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position. **(Please [click here](#) for a continuation page for response if needed.)**

See continuation page.

3. Provide a detailed explanation of the basis for your conclusion that divestiture is reasonably necessary to comply with Federal ethics rules (including an indication as to the date on which the requirement to divest first applied). **(Please click here for a continuation page for response if needed.)**

The employee will be working on areas concerning the acquisition and maintenance of computer equipment for the Agency as well as other issues concerning EPA data infrastructure. EPA currently uses products produced by Apple and Hewlett-Packard.

4. Indicate how the property was acquired (e.g., purchase prior to appointment, inheritance after appointment, gift prior to appointment, etc.). If various items of property were acquired in different ways, be specific about how the various items were acquired (e.g., "Except for the Microsoft stock, the employee purchased all of the property before beginning government service in July 2001. The employee's spouse inherited the Microsoft Stock earlier this month on September 3, 2007."). **(Please click here for a continuation page for response if needed.)**

All property was purchased prior to the employee's employment with EPA.

5. Please address all items below:

a. Have you enclosed a written request from the employee that contains an unconditional statement that the property owner(s) will divest the property? No ☐ Yes ☒

b. Have you enclosed the employee's most recent financial disclosure report or the equivalent? No ☐ Yes ☒

c. Is any other financial interest of the employee "similar or related" to the property being divested? No ☐ Yes ☒

d. Is any of the property held in a tax-deferred retirement plan? *Indicate which property is held in the plan in your response to Item 6.* No ☒ Yes ☐

e. Was any of the property acquired through an employee benefit plan (e.g., stock options, restricted stock, etc.)? *Indicate which property was acquired in this manner and the type of employee benefit plan in your response to Item 6.* No ☒ Yes ☐

f. If any of the property is held in a trust, have you enclosed the trust agreement? N/A ☒ No ☐ Yes ☐
Indicate which property is held in a trust in your response to Item 6.

6. Provide any additional information that you would like OGE to consider when processing the request. (Use this space to address the timing of the request, if it is submitted after the deadline for divestiture.) **(Please click here for a continuation page for response if needed.)**

Filer will divest of stock in Hewlett-Packard, but is not seeking a certificate of divestiture for these shares. After divestiture, the filer will retain 100 shares of Apple stock with a value of about \$10,000.

7. Print this document and submit the signed original with all enclosures to the following address:
Director, U.S. Office of Government Ethics, 1201 New York Avenue, NW, Suite 500, Washington, DC 20005-3917.

Print

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REQUEST FOR A CERTIFICATE OF DIVESTITURE
Continuation Page for Responses to Question 2

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position.

Incumbent serves as a Senior Advisor to the Administrator in the Office of the Administrator, Immediate Office.

In this capacity, the incumbent provides advice and recommendations on Agency-wide organizational structures, business or operating procedures and work processes. The incumbent maintains a continuous awareness of major national process related issues impacting the Agency, including but not limited to the application of information technology, policy and practices; performs, analyses and identifies opportunities for shifts in structures, procedures and processes to better meet the changing needs of the Agency and constituents; makes recommendations on innovative and performance-based approaches to aligning processes with corresponding technologies and on organizational efficiencies, as well as, outreach opportunities to EPA internal and external stakeholders impacted by process issues. As requested, the incumbent will attend meetings, conferences, and other such events as an authoritative representative of the Agency to ensure the Administrator's points of view, goals, and philosophy are clearly communicated and factored into all decision-making activities. Outcomes are expected to create immediate results and have long-term impact.

Print

Reset



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE-278) submitted by Ms. Ann Dunkin in connection with her nomination to be the Assistant Administrator for the Office of Environmental Information for the United States Environmental Protection Agency (EPA).

Ms. Dunkin's letter to me describes her proposed ethics agreement and the steps that she will take if confirmed as Assistant Administrator for the Office of Environmental Information. She will not participate personally and substantially in any particular matter that has a direct and predictable effect on her financial interests or those of any person whose interests are imputed to her, unless she obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If she relies on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of her financial interests, she will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, she will not participate in the particular matter, unless she first obtains a written waiver under 18 U.S.C. § 208(b)(1).

Upon confirmation and swearing in, she will resign from her position as Chief Technology Officer of the Palo Alto Unified School District. For a period of one year after her resignation, she will not participate personally and substantially in any particular matter involving specific parties in which the Palo Alto Unified School District is a party or represents a party, unless she is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation and swearing in, she will dissolve Dunkin, Wolf and Associates, LLC. She will not participate personally and substantially in any particular matter involving specific parties in which a former client of hers is a party or represents a party, for a period of one year after she last provided service to that client, unless she is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation and swearing in, she will resign from the following positions: Board Chair of the Winter Simulation Conference; Editorial Advisory Board Member of T.H.E. Journal; CIO Council Member and SmartIT Advisory Board Member of the Consortium of School Networking; Editorial Board Member of the International Journal of Advances in Software; and Program Committee Member of the SIMUL Conference Technical Program Committee. For a period of one year after her resignation from each of these entities, she will not participate personally and substantially in any particular matter involving specific parties in which that entity is a party or represents a party, unless she is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

She will retain her position as trustee of the Dunkin Family Trust. She will not receive any fees for the services that she provides as trustee during her appointment to the position of Assistant Administrator. She will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the Dunkin Family Trust unless she first obtains a written waiver pursuant to 18 U.S.C. § 208(b)(1), or qualifies for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

She will divest her interests in the following within ninety days of her confirmation: Apple Corporation and Hewlett Packard. She understands that she may be eligible to request a certificate of divestiture for these assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether she receives a Certificate of Divestiture, she will divest these assets within ninety days of her confirmation and will invest these proceeds in non-conflicting assets. With regard to each of these entities, she will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the entity until she has divested it, unless she first obtains a written waiver pursuant to 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

She has disclosed a financial interest in the Alan W. Steinberg, LP. However, the fund's manager declined to provide her with sufficient information to enable her to disclose the fund's underlying assets in her financial disclosure report. Therefore, she will divest her financial interest in the Alan W. Steinberg, LP, within ninety days of her confirmation. Until she has divested Alan W. Steinberg, LP, she will not participate personally and substantially in any particular matter in which to her knowledge she has a financial interest, if the particular matter has a direct and predictable effect on the financial interests of Alan W. Steinberg, LP, or its underlying assets, unless she first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualifies for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I therefore determine that Ms. Dunkin's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

Brenda Mallory
Designated Agency Ethics Official

Enclosures

Ms. Brenda Mallory
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Mallory:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for Environmental Information for the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Before I assume the duties of the position of Assistant Administrator, I will resign from my position as Chief Technology Officer of the Palo Alto Unified School District. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which the Palo Alto Unified School District is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I have dissolved Dunkin, Wolf and Associates, LLC. If confirmed, I will not participate personally and substantially in any particular matter involving specific parties in which a former client of mine is a party or represents a party, for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Before I assume the duties of the position of Assistant Administrator, I will resign from the following positions: past Board Chair of the Winter Simulation Conference; Editorial Advisory Board Member of T.H.E. Journal; CIO Council Member and SmartIT Advisory Board Member of the Consortium of School Networking; Editorial Board Member of the International Journal of Advances in Software; and Program Committee Member of the SIMUL Conference Technical Program Committee. In June of 2013, I ended my service with the Workshop Review Committee of Out & Equal Workplace Associates. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular

matter involving specific parties in which that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will retain my position as trustee of the Dunkin Family Trust. I will not receive any fees for the services that I provide as trustee during my appointment to the position of Assistant Administrator. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the Dunkin Family Trust unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

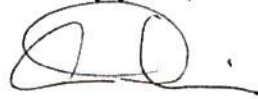
I will divest my interests in the following within ninety days of my confirmation: Apple Corporation and Hewlett Packard. I understand that I may be eligible to request a certificate of divestiture for these assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will divest these assets within ninety days of my confirmation and will invest these proceeds in non-conflicting assets. With regard to each of these entities, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1) or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I disclosed in my financial disclosure report a financial interest in the Alan W. Steinberg, LP. However, the fund's manager declined to provide me with sufficient information to enable me to disclose the fund's underlying assets in my financial disclosure report. I have divested of my financial interest in the Alan W. Steinberg, LP.

I understand that as an appointee I am required to sign the Ethics Pledge (Exec. Order No. 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Ann Dunkin', with a stylized, cursive-like flourish.

Ann Dunkin



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OCT 10 2009

OFFICE OF
GENERAL COUNSEL

The Honorable Robert I. Cusick, Director
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Cusick:

As required by 5 C.F.R. 2634.605(c), I have reviewed the Public Financial Disclosure Report (SF 278) submitted by Arthur Elkins in connection with his nomination to be the Inspector General of the U.S. Environmental Protection Agency.

Arthur Elkins' letter to me describes his proposed ethics agreement and the steps that she will take if confirmed as Inspector General. He will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to him, unless he obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

I therefore determine that Mr. Elkins' ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in cursive script, appearing to read "Patricia K. Hirsch".

Patricia K. Hirsch
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JUL 06 2010

OFFICE OF
GENERAL COUNSEL

The Honorable Robert I. Cusick
Director, U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, DC 20005-3919

Dear Mr. Cusick:

The purpose of this letter is to inform you that, in accordance with 5 C.F.R. § 2634.804, Arthur A. Elkins has complied with the terms of his ethics agreement entered into as a condition of his employment with the United States Environmental Protection Agency as the Inspector General. He does not present any conflicts that require any screening arrangements.

If you have any questions regarding this appointee and his ethics compliance commitments, please contact Justina Fugh, the Alternate Designated Agency Ethics Official, at (202) 564-1786, or me at (202) 564-8064.

Sincerely,

A handwritten signature in dark ink, appearing to read "B. Mallory", is written over a horizontal line.

Brenda J. Mallory
Designated Agency Ethics Official
and Principal Deputy General Counsel



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

NOV 27 2009

OFFICE OF
GENERAL COUNSEL

Ms. Judith A. Enck
Regional Administrator-Designee
c/o US EPA Region 2
290 Broadway
New York, NY 10007-1866

Dear Ms. Enck:

In anticipation of being sworn in as the Regional Administrator for US EPA Region 2, you seek permission to participate in specific party matters involving the State of New York. Within the last year, prior to being selected for this position, you served as the Deputy Secretary for the Environment for the Governor of New York.

Under President Obama's Ethics Pledge, which you will sign upon appointment, political appointees are prohibited from participating in specific party matters in which their former employer or former client is a party. However, state government is excluded under the definition of "former employer." Therefore, the Ethics Pledge does not apply to your State of New York employment.

We understand that you have a deferred compensation plan and a state retirement account with the State of New York. As such, you have a financial conflict of interest pursuant to 18 U.S.C. § 208. Under this criminal statute, you cannot participate personally and substantially in any particular matter that will affect the State's ability or willingness to honor its contractual obligations with respect to your state retirement interests. In our experience, it is unlikely that you as the Regional Administrator will be in any position to affect the State's ability or willingness to pay these benefits to its retirees. We do not expect, then, that 18 U.S.C. § 208 will prohibit you from carrying out your official EPA duties.

What remains is an impartiality concern. Upon assuming the position of Regional Administrator, you will have a "covered relationship" with the State of New York pursuant to 5 C.F.R. § 2635.502(b)(i) and (iv) of the Standards of Ethical Conduct for Employees of the Executive Branch. Under these provisions, employees should not participate personally and substantially in particular matters involving specific parties when their "covered relationship" is or represents a party to those matters and the circumstances would cause a reasonable person with knowledge of the relevant facts to question their impartiality. Employees must be mindful to take appropriate steps to avoid an appearance of a loss of impartiality in the performance of their official EPA duties.

Federal ethics regulations permit federal officials to participate in matters that might raise impartiality concerns when the interest of the federal government in the employee's participation outweighs concern over the questioning of the "integrity of the agency's programs and operations." 5 C.F.R. § 2635.502(d). The factors that we can take into consideration are:

- (1) the nature of the relationship involved;
- (2) the effect that resolution of the matter will have upon the financial interest of the person affected in the relationship;
- (3) the nature and importance of the employee's role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- (4) the sensitivity of the matter;
- (5) the difficulty of reassigning the matter to another employee; and
- (6) adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

As Regional Administrator, you are the leader of your region and part of the Agency's political team. You will be asked to participate in discussions and meetings related to particular matters that affect New York, which is one of the two states, one commonwealth and one territory in your region. We conclude that you may participate as Regional Administrator in any particular matter that involves the State of New York because the interest of the United States Government in your participation outweighs any concerns about your impartiality. In making this determination, we considered the impartiality factors as follows:

Nature of the relationship involved -- your prior employment was with the Governor, rather than with the state environmental agency, and you were involved with state environmental policy issues. States share responsibility with EPA in protecting human health and the environment. With respect to many of our statutes, EPA has directly delegated states with regulatory and enforcement authority. In fact, EPA, through its regions, works closely and directly with states on a continuing and frequent basis.

Effect of the matter upon your financial interest -- we have concluded that there is only a remote possibility that any of EPA's actions will affect the State's ability or willingness to honor its contractual obligations to pay benefits to its retirees. Your actions as the Regional Administrator will not affect any pay-outs you may receive from your retirement plans.

Nature and importance of the employee's role -- As Regional Administrator, you are expected to communicate freely with states, including New York.

Sensitivity of the matter -- We have discussed several specific party matters in which you may be asked to participate, including Hudson River PCBs, the listing of the Gowanus Canal, Marcellus Shale Gas Drilling, West Valley Nuclear Waste Site, and the Indian

Point Nuclear Power Plant. Each of these specific party matters merits your participation and raises nationally significant issues.

Difficulty of reassigning the matter to another employee – Your participation in nationally significant issues will be of importance to the Administrator.

While we have issued you this blanket determination, we note that you may wish to make adjustments to your duties to not participate in a particular matter that involves New York. Nothing in this impartiality determination should preclude you from doing so, although you are advised to confer with your Regional Counsel should such a circumstance arise.

Please feel free to contact Justina Fugh, Senior Counsel for Ethics, if you have any further questions. She can be reached at fugh.justina@epa.gov or at (202) 564-1786.

Sincerely yours,

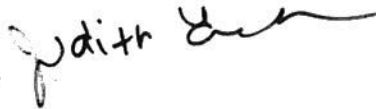

for Patricia K. Hirsch
Designated Agency Ethics Official

DEC 16 2009

MEMORANDUM

SUBJECT: My Ethics Obligations

FROM: Judith Enck
Regional Administrator
Region II



TO: Lisa P. Jackson, Administrator

This memorandum provides you with written notification regarding my ethics obligations. I have conferred with regional and headquarters ethics counsel and understand that I must recuse myself from matters in which I have a financial interest, or a personal or business relationship. I understand that I cannot participate personally and substantially in any particular matter that will affect the State of New York's ability or willingness to honor its contractual obligations with respect to state retirement interests. However, ethics counsel have advised me that it is unlikely that any such matter would arise in my duties as Regional Administrator.

I understand that the President's ethics pledge restrictions regarding "former employers" does not include prior state government service. I understand that I am nonetheless bound by the impartiality provisions of the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. Part 2635, Subpart E. Pursuant to the attached impartiality determination signed on November 27, 2009, I have been authorized to participate in particular matters that affect my former employer, the State of New York.

In consultation with OGC and the Regional Counsel, I will revise and update this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.

Attachment

cc: Diane Thompson, Chief of Staff
George Pavlou, Deputy Regional Administrator, Region II
Eric Schaaf, Regional Counsel, Region II
Patricia K. Hirsch, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



JAN - 7 2016

Kevin Minoli
Principal Deputy General Counsel and
Designated Agency Ethics Official
Environmental Protection Agency
Washington, DC 20460

Dear Mr. Minoli:

In response to your request of December 17, 2015, enclosed is Certificate of Divestiture OGE-2016-001 for Ruth Etzel, Director, Office of Children's Health Protection, Environmental Protection Agency. Please forward the original certificate to Dr. Etzel. Also enclosed is a copy of the certificate for your files.

If there are any questions, you may contact Monica Ashar, Assistant Counsel, at (202) 482-9282.

Sincerely,

David J. Apol
General Counsel

Enclosures

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



CERTIFICATE OF DIVESTITURE

Certificate No. OGE-2016-001

ELIGIBLE PERSON: Ruth A. Etzel
Environmental Protection Agency

DATE OF ISSUANCE: JAN - 7 2016


DIVESTITURE PROPERTY:

929 shares, Pfizer, Inc. common

This Certificate of Divestiture is issued in accordance with section 1043 of the Internal Revenue Code of 1986 and 5 C.F.R. § 2634.1002 with respect to the specific property described above. I hereby determine that the divestiture of the described property is reasonably necessary to comply with 18 U.S.C. § 208, or other applicable Federal conflict of interest statutes, regulations, rules, or executive orders.

Note that section 1043 of the Internal Revenue Code and the rules of subpart J of 5 C.F.R. Part 2634 provide for nonrecognition of gain in the case of sales to comply with conflict of interest requirements. The rules of Subpart J relate to the issuance of Certificates of Divestiture and the permitted property into which a reinvestment must be made during the 60-day period beginning on the date of such a sale in order for nonrecognition to be permitted. Such reinvestments are called rollovers, and are limited to obligations of the United States and diversified investment funds as defined in 5 C.F.R. § 2634.1003. The substantive and procedural rules relating to the tax aspects of such sales and rollovers pursuant to the statutory scheme are subject to the jurisdiction of the Internal Revenue Service.

Eligible persons should seek the advice of their personal tax advisors for guidance as to the tax aspects of divestiture transactions and whether proposed acquisitions meet the requirements for permitted property. Internal Revenue Service regulations and other guidance should be consulted as to these matters. Internal Revenue Service requirements for reporting dispositions of property and making an election not to recognize gain under section 1043 (IRS Form 8824) must be followed by eligible persons wishing to make such an election.


David J. Apol
General Counsel

cc: DAEO, Environmental Protection Agency

DEC 17 2015



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
Director
Suite 500
1201 New York Avenue, NW
Washington, DC 20005-3917

RE: Certificate of Divestiture Request for Dr. Ruth Etzel

Dear Mr. Shaub:

On behalf of the United States Environmental Protection Agency (EPA), I am writing to formally request a certificate of divestiture (CD) on behalf of Dr. Ruth Etzel, a career SES employee at EPA Headquarters. Dr. Etzel is currently the Director of the Office of Children's Health Protection. The Office provides a comprehensive review of child-protective environmental standards and regulations, susceptibility and exposure to pollutants; assesses current research agenda and develops an integrated cross-agency science agenda for children's environmental health issues; fosters enhanced linkages between basic science and agency public health and environmental policy that affects children; and expands community right-to-know and education on children's health issues; and develops procedures and training to ensure that EPA meets its commitment to set standards that adequately protect against differential health effects facing children and to ensure coordination of individual rulemakings affecting children's environmental health.

The National Institutes of Health has selected Dr. Etzel to participate as part of your EPA duties on the DHHS Interagency Autism Coordinating Committee, a particular matter of general applicability that will effect Pfizer as a class. NIH states that Dr. Etzel's ownership interest in Pfizer stock currently exceeds the regulatory exemption level for participating in particular matters of general applicability and have identified this asset as a potential conflict of interest for her. Therefore, the EPA Ethics Office has directed her to divest these assets because recusal would disqualify her from participating in this NIH panel.

Enclosed in this request are the following documents:

- 1) A request for a certificate of divestiture;
- 2) The employee's request for a certificate of divestiture; and
- 3) The employee's public financial disclosure form.

If you have any further questions regarding this request, please feel free to contact Dan Fort at (202) 564-2200 or by email at fort.daniel@epa.gov.

Sincerely,

A handwritten signature in black ink, appearing to read 'K S Minoli', with a stylized, overlapping 'S' and 'M'.

Kevin S. Minoli

Principal Deputy General Counsel and
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MEMORANDUM

OFFICE OF
CHILDREN'S HEALTH PROTECTION

SUBJECT: Request for Certificate of Divestiture

FROM: Ruth A. Etzel
Director, Office of Children's Health Protection

THROUGH: Reginald Allen
Deputy Ethics Official

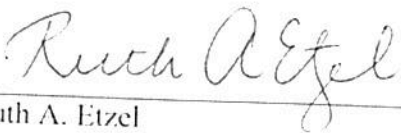
TO: Kevin S. Minoli
Principal Deputy General Counsel and
Designated Agency Ethics Official

On my behalf, please request a certificate of divestiture from the Office of Government Ethics (OGE) pursuant to section 1043 of the Internal Revenue Code with respect the following:

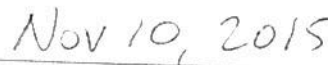
929 of common shares of Pfizer, Inc.

I received this stock on April 16, 2003 after the acquisition of Pharmacia. Each Pharmacia shareholder received 1.4 shares of Pfizer, Inc. I was notified on October 27, 2015 of the requirement to divest in order to ensure compliance with financial conflict of interest requirements at the National Institutes of Health. Upon being notified of the issuance or denial of the certificate of divestiture from OGE, I will divest these interests.

I understand that such divestiture proceeds must be reinvested in "permitted property," as defined at 5 C.F.R. § 2634.1003, during the 60-day period beginning on the date of the sale of the shares in order to take advantage of the non recognition of capital gains from my divestiture transaction.

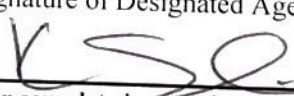


Ruth A. Etzel



Date

REQUEST FOR A CERTIFICATE OF DIVESTITURE
(to be completed by the agency, not by the requesting employee)

requesting employee and position title: Ruth Etzel, Director	employing agency and component: United States Environmental Protection Agency, Office of Children's Health Protection.
agency point of contact: Daniel Fort/Ethics Officer	telephone number for agency point of contact: (202) 564-2200
signature of Designated Agency Ethics Official: 	date: 12/17/15

For complete instructions on requesting a Certificate of Divestiture, please review 5 C.F.R. part 2634, subpart J.

1. Provide the requested information about the property being divested and the owner(s) of that property. Indicate whether each property owner is one of the following: (a) a government employee; (b) a spouse, a minor child or a dependent child of a government employee; or (c) a trustee of a trust for the benefit of an eligible person. For stock, provide the number of shares of stock owned. For a partnership, provide the percentage of the partnership owned.

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
McDonald's Corp. Play Toys, LP	57 shares 12.24% interest	John A. Jones	self
General Electric, Co.	251 shares	John A. Jones (joint) Mary B. Jones	self spouse
The Home Depot, Inc.	165 shares	Mary B. Jones	spouse
Merck & Co., Inc.	33 shares	William C. Smith	trustee
Coca-Cola, Co.	55 shares	John A. Jones (as custodian) Robert D. Jones	self dependent child

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
Pfizer	929 shares	Ruth Etzel	Self

If you need additional space to accommodate your responses please click here for a continuation page

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position. (Please click here for a continuation page for response if needed.)

See continuation page

3. Provide a detailed explanation of the basis for your conclusion that divestiture is reasonably necessary to comply with Federal ethics rules (including an indication as to the date on which the requirement to divest first applied). (Please click here for a continuation page for response if needed.)

See continuation page.

4. Indicate how the property was acquired (e.g., purchase prior to appointment, inheritance after appointment, gift prior to appointment, etc.). If various items of property were acquired in different ways, be specific about how the various items were acquired (e.g., "Except for the Microsoft stock, the employee purchased all of the property before beginning government service in July 2001. The employee's spouse inherited the Microsoft Stock earlier this month on September 3, 2007."). (Please click here for a continuation page for response if needed.)

Purchased prior to appointment

5. Please address all items below:

a. Have you enclosed a written request from the employee that contains an unconditional statement that the property owner(s) will divest the property?

No ☐ Yes ☒

b. Have you enclosed the employee's most recent financial disclosure report or the equivalent?

No ☐ Yes ☒

c. Is any other financial interest of the employee "similar or related" to the property being divested?

No ☒ Yes ☐

d. Is any of the property held in a tax-deferred retirement plan? *Indicate which property is held in the plan in your response to Item 6.*

No ☒ Yes ☐

e. Was any of the property acquired through an employee benefit plan (e.g., stock options, restricted stock, etc.)? *Indicate which property was acquired in this manner and the type of employee benefit plan in your response to Item 6.*

No ☒ Yes ☐

f. If any of the property is held in a trust, have you enclosed the trust agreement? *Indicate which property is held in a trust in your response to Item 6.* N/A ☒ No ☐ Yes ☐

6. Provide any additional information that you would like OGE to consider when processing the request. (Use this space to address the timing of the request, if it is submitted after the deadline for divestiture.) (Please click here for a continuation page for response if needed.)

Dr. Etzel has not participated in the particular matter and became aware of it on October 27, 2015.

7. Print this document and submit the signed original with all enclosures to the following address:
Director, U.S. Office of Government Ethics, 1201 New York Avenue, NW, Suite 500, Washington, DC 20005-3917.

Print

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REQUEST FOR A CERTIFICATE OF DIVESTITURE
Continuation Page for Responses to Question 2

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position.

The Office of Children's Health Protection reports directly to the Administrator. The mission of the Office of Children's Health Protection is to make the protection of children's health a fundamental goal of public health and environmental protection in the United States. The Office is responsible for implementing EPA's National Agenda for the Protection of Children from Environmental Health Threats; implementing the President's Executive Order to Protect Children from Environmental Health and Safety Threats, signed April 21, 1997; supporting the President's Task Force on Environmental Health Risks and Safety Risks to Children co-chaired by the Administrator and the Secretary of Health and Human Services; coordinating children's environmental health issues with the Department of Health and Human Services, other Federal agencies, across the EPA, as well as Congress, State, local and tribal governments, academic institutions, health professionals, community groups, parents, and others.

The Office provides a comprehensive review of child-protective environmental standards and regulations, susceptibility and exposure to pollutants; assesses current research agenda and develops an integrated cross-agency science agenda for children's environmental health issues; fosters enhanced linkages between basic science and agency public health and environmental policy that affects children; and expands community right-to-know and education on children's health issues; and develops procedures and training to ensure that EPA meets its commitment to set standards that adequately protect against differential health effects facing children and to ensure coordination of individual rulemakings affecting children's environmental health.

Print

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REQUEST FOR A CERTIFICATE OF DIVESTITURE
Continuation Page for Responses to Question 3

3. Provide a detailed explanation of the basis for your conclusion that divestiture is reasonably necessary to comply with Federal ethics rules (including an indication as to the date on which the requirement to divest first applied).

The National Institutes of Health has selected Dr. Etzel to participate as part of ~~her~~ EPA duties on the DHHS Interagency Autism Coordinating Committee, a particular matter of general applicability that will effect Pfizer as a class. NIH states that Dr. Etzel's ownership interest in Pfizer stock currently exceeds the regulatory exemption level for participating in particular matters of general applicability and have identified this asset as a potential conflict of interest for her. Therefore, the EPA Ethics Office has directed her to divest these assets because recusal would disqualify her from participating in this NIH panel. Dr. Etzel prefer to sell her entire holding in Pfizer rather than sell down below the de minimis exemption level.

Print

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Fugh, Justina

From: Fugh, Justina
Sent: Friday, August 14, 2015 1:25 PM
To: Etzel, Ruth
Cc: Reeder, John
Subject: CORRECTED VERSION: approval to serve as an Associate Editor of *Current Problems in Pediatrics and Adolescent Health Care*

Hi Ruth,

Your immediate supervisor, John Reeder, and I received your request to engage in outside employment as an associate editor of *Current Problems in Pediatrics and Adolescent Health Care*. Mr. Reeder has no objections to your engaging in this activity. You anticipate that the work will entail a one hour of work each month, plus annual leave to attend the editorial board meeting. You further anticipate that the compensation will include the travel expenses for the board meeting as well as approximately \$(b) (6) to \$(b) (6) a year, depending on the number of articles solicited.

Based on the information you have provided, I am approving your request as consistent with 5 C.F.R. Part 2635, Subpart H. Please note that, generally, an approval for outside employment remains valid for five years, though you must request a new approval should there be a change in the nature or scope of your duties.

I have set forth below a reminder about several ethics principles:

- Because you will be compensated by Elsevier, their interests are imputed to you for conflicts purposes. You cannot participate in your EPA duties in any matter that will have a direct and predictable financial effect upon Elsevier. You cannot work on particular matters that involve Elsevier as a specific party nor can you work on particular matters of general applicability. So, for example, if an employee in OCHP wants to publish an article as part of official duty, you can't contact Elsevier personally. And if she wants to publish an article in her personal capacity, but the publisher is identified as Elsevier, you cannot make a decision on that request as the Deputy Ethics Official.
- You will need to report the income from this outside activity on Schedule A of your next financial disclosure statement, and the outside position on Schedule D.
- If you want to attend the annual meeting of the Pediatric Academic Societies in your official capacity, but Elsevier is already paying for you to attend in your personal capacity, please contact OGC/Ethics for specific advice about how to proceed.
- Don't forget, you are generally prohibited by a criminal law from representing another entity back to the federal government in any matter in which the United States is a party or has a direct and substantial interest. See 18 USC §§ 203 and 205. In your capacity as an associate editor, you cannot contact any US government employee to write an article in their official capacity.
- You must refrain from using EPA email, property or resources to further this compensated activity. There is no "limited personal use" of our equipment or facilities that extends to compensated employment. You must do all of the work on your own time, using your own equipment, computer, smart phone and email address.

I will put a copy of this approval in your file here in OGC/Ethics. As always, if you have any questions, please feel free to contact me at (202) 564-1786.

Cheers,
Justina

Justina Fugh | Senior Counsel for Ethics | Office of General Counsel | US EPA | Mail Code 2311A | Room 4308 North, William Jefferson Clinton Federal Building | Washington, DC 20460 (for ground deliveries, use 20004 for the zip code) | phone 202-564-1786 | fax 202-564-1772

From: Etzel, Ruth
Sent: Wednesday, August 05, 2015 1:19 PM
To: Reeder, John
Cc: Fugh, Justina
Subject: Requesting approval to continue as an Associate Editor of *Current Problems in Pediatrics and Adolescent Health Care*

Hi John,

This is a request for your approval to continue as an Associate Editor of *Current Problems in Pediatrics and Adolescent Health Care* as an outside activity.

Name, title, and grade:
Ruth A. Etzel
Director
Office of Children's Health Protection
SES

The nature of the outside activity, including a full description of the services to be performed and the amount of compensation expected:

I have served as one of 6 Associate Editors for this journal since 2004. The journal is published monthly. My responsibilities as an Associate Editor included soliciting authors to write articles for the journal, reading and editing the articles that they submit, approving the articles for publication in the journal, and writing a very brief Foreword. In general, the articles I solicit are related to general pediatric practice and sometimes they discuss environmental exposures to children. For example, the last three authors I worked with before leaving the University of Wisconsin wrote on the following topics:

1. *Physical, Behavioral, and Cognitive Effects of Prenatal Tobacco and Postnatal Secondhand Smoke Exposure*
2. *Environmental Chemical Exposures and Autism Spectrum Disorders: A Review of the Epidemiological Evidence/Environmental Contributors to Autism: The Pediatrician's Role*
3. *Policy Options to Promote Smokefree Environments for Children and Adolescents*

The compensation I receive varies depending on how many articles I solicit. Typically, I have solicited 2-3 articles per year. In past years the amount of compensation has ranged from about \$(b) (6) per year to about \$(b) (6) per year. In past years, Elsevier, the publisher, has also asked

Associate Editors to attend a 3 hour editorial board meeting at the annual meeting of the Pediatric Academic Societies (held in early May of each year in various locations). For each Associate Editor, Elsevier offers to pay the round trip coach airfare to the meeting and 1 night in a hotel.

The name and business of the person or organization for which the work will be done:

Elsevier
360 Park Avenue South
New York, NY 10010-1710

The estimated time to be devoted to the activity:

Estimated total of 1 hour per month, and one full day of travel to the annual meeting of the Pediatric Academic Societies (for which I would take annual leave).

Whether the service will be performed entirely outside of normal duty hours (if not, estimate the number of hours of absence from work required):

This service will be performed entirely outside of normal duty hours.

I have read, am familiar with, and will abide by the restrictions described in 5 CFR Part 2635 (Subpart H on "Outside Activities") and Section 6401.103 (EPA's Supplemental Regulations)

Any EPA assistance agreements or contracts held by a person to or for whom services would be provided:

None

Please let me know if you approve this request.

Sincerely,

Ruth

Ruth A. Etzel, MD, PhD
Director
Office of Children's Health Protection
U.S. Environmental Protection Agency
Room 1144 EPA West Building
Washington, DC 20460
Office: 202-564-2188



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
CHILDREN'S HEALTH PROTECTION

MEMORANDUM

DATE: June 19, 2015

SUBJECT: Recusal Statement and Screening Arrangement Pursuant to My Ethics Obligations

FROM: Ruth A. Etzel *Ruth A Etzel*
Director, Office of Children's Health Protection

TO: John Reeder
Deputy Chief of Staff

This memorandum provides you with written notification about my obligation to recuse myself from certain matters in which I have a financial interest, or a personal or business relationship. Because of the current level of my financial ownership, I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable financial effect on any of the following entities as specific parties or that are affected by matters of general applicability:

RECUSAL LIST	
Berkshire Hathaway and any of its subsidiaries	Colgate-Palmolive
Pfizer	Wisconsin Energy

To be clear, given my financial ownership interests, I am recused from participating in the following matters of general applicability:

RECUSAL LIST -- SECTORS
Agricultural products, including seeds and pesticides
Consumer Products
Energy
Health Care products

In addition, given my current level of financial ownership and the fact that I am still on a leave of absence from a university, I am also recused from participating in any particular matter that involves the following entities as a specific party:

RECUSAL LIST -- SPECIFIC PARTY MATTERS ONLY

Monsanto
University of Wisconsin at Milwaukee

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I will instruct Khesha Reed to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Ms. Reed determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to for action or assignment, without my knowledge or involvement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am requesting that she seek the assistance of the Office of General Counsel's Ethics Office if she is ever uncertain whether or not I may participate in a matter.
3. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Khesha Reed without my knowledge or involvement.
4. In consultation with OGC/Ethics, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
5. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics and any principal subordinates.

cc: Khesha Reed, Associate Director, OCHP
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MEMORANDUM

OFFICE OF
CHILDREN'S HEALTH PROTECTION

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: Ruth Etzel, Director *Ruth Etzel*
Office of Children's Health Protection

TO: Matthew Fritz
Chief of Staff

DATE: January 12, 2017

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. Because of the current level of my financial ownership, I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable effect on any of the following entities as specific parties:

RECUSAL LIST - NAMES OF COMPANIES	
Aflac	Kellogg
Berkshire Hathaway and subsidiaries	Monsanto
Colgate-Palmolive	Pfizer
Express Scripts	Stericycle
Google	Volvo
Intel	Wisconsin Energy

Given my current level of financial ownership, I understand that I am recused from participating in any particular matters of general applicability that involve Colgate-Palmolive, Google, Intel, Wisconsin Energy Group, and Volvo as members of any class. If my ownership interest exceeds \$25,000, then I understand that my recusal from particular matters of general applicability also applies to Aflac, Berkshire Hathaway, Pfizer and Kellogg as members of any class. And I understand that I am recused from participating in the following matters of general applicability:

RECUSAL LIST -- SECTORS
Agricultural products, including seeds and pesticides
Automobile, bus and truck manufacturing
Consumer Products
Electricity and Natural Gas Delivery
Health Care products, including vaccines

In addition, because I have not yet resigned from the University of Wisconsin, I am fully recused from any participation with that institution, including but not limited to the Joseph J. Zilber School of Public Health. I will not participate in any particular matter that involves the University as a specific party or that affects it as a member of a class unless and until I have informed and receive authorization from the Office of General Counsel/Ethics.

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Khesha Reed to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Ms. Reed determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to for action or assignment, without my knowledge or involvement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am requesting that she seek the assistance of the Office of General Counsel's Ethics Office if she is ever uncertain whether or not I may participate in a matter.
3. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Khesha Reed without my knowledge or involvement.
4. In consultation with OGC/Ethics, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
5. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics and any principal subordinates.

cc: Justina Fugh, Senior Counsel for Ethics
Khesha Reed, Associate Director, OCHP



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

SEP 24 2013

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
Director
U.S. Office of Government Ethics
1201 New York Avenue, NW #500
Washington, DC 20005-3917

Dear Mr. Shaub:

On behalf of the United States Environmental Protection Agency (EPA), I am writing to formally request a certificate of divestiture (CD) on behalf of Avi S. Garbow, the General Counsel in EPA's Office of General Counsel. Pursuant to the ethics agreement Mr. Garbow signed in connection with his nomination as the General Counsel, Mr. Garbow must divest of two stock interests in order to comply with his ethics agreement. Therefore, we respectfully seek that the Office of Government Ethics grant his request for a certificate of divestiture at this time. To that end, enclosed please find the following:

- 1) A request for a certificate of divestiture;
- 2) The employee's request to the DAEO for a certificate of divestiture; and
- 3) The employee's nominee OGE Form 278 and ethics agreement.

If you have any further questions regarding this request, please feel free to contact Jennie Keith at (202) 564-3412 or by email at keith.jennie@epa.gov.

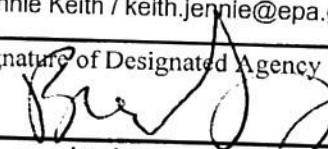
Sincerely,

A handwritten signature in black ink, appearing to read "B. Mallory", is written over the word "Sincerely,".

Brenda Mallory
Principal Deputy General Counsel and
Designated Agency Ethics Official

enclosures

REQUEST FOR A CERTIFICATE OF DIVESTITURE
(to be completed by the agency, not by the requesting employee)

requesting employee and position title: Avi S. Garbow, General Counsel	employing agency and component: United States Environmental Protection Agency / Office of General Counsel
agency point of contact: Jennie Keith / keith.jennie@epa.gov	telephone number for agency point of contact: (202) 564-3412
signature of Designated Agency Ethics Official: 	date: 09/23/2013

For complete instructions on requesting a Certificate of Divestiture, please review 5 C.F.R. part 2634, subpart J.

1. Provide the requested information about the property being divested and the owner(s) of that property. Indicate whether each property owner is one of the following: (a) a government employee; (b) a spouse, a minor child or a dependent child of a government employee; or (c) a trustee of a trust for the benefit of an eligible person. For stock, provide the number of shares of stock owned. For a partnership, provide the percentage of the partnership owned.

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
McDonald's Corp. Play Toys, LP	57 shares 12.24% interest	John A. Jones	self
General Electric, Co.	251 shares	John A. Jones (joint) Mary B. Jones	self spouse
The Home Depot, Inc.	165 shares	Mary B. Jones	spouse
Merck & Co., Inc.	33 shares	William C. Smith	trustee
Coca-Cola, Co.	55 shares	John A. Jones (as custodian) Robert D. Jones	self dependent child

description of the property	quantity or percentage owned	owner(s) of the property	relationship to the employee
Eaton Corporation	934 shares	Avi S. Garbow (joint) (b) (6)	self spouse
Bristol Myers Squibb Company	400 shares	Avi S. Garbow (joint) (b) (6)	self spouse

If you need additional space to accommodate your responses please click here for a continuation page

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position. (Please click here for a continuation page for response if needed.)

See continuation page.

3. Provide a detailed explanation of the basis for your conclusion that divestiture is reasonably necessary to comply with Federal ethics rules (including an indication as to the date on which the requirement to divest first applied). (Please click here for a continuation page for response if needed.)

Mr. Garbow's ethics agreement requires him to divest of these stock interests.

4. Indicate how the property was acquired (e.g., purchase prior to appointment, inheritance after appointment, gift prior to appointment, etc.). If various items of property were acquired in different ways, be specific about how the various items were acquired (e.g., "Except for the Microsoft stock, the employee purchased all of the property before beginning government service in July 2001. The employee's spouse inherited the Microsoft Stock earlier this month on September 3, 2007."). (Please click here for a continuation page for response if needed.)

The stock interests were gifts Mr. Garbow and Ms. (b) (6) received prior to Mr. Garbow's confirmation as the General Counsel.

5. Please address all items below:

- a. Have you enclosed a written request from the employee that contains an unconditional statement that the property owner(s) will divest the property? No ☐ Yes ☒
- b. Have you enclosed the employee's most recent financial disclosure report or the equivalent? No ☐ Yes ☒
- c. Is any other financial interest of the employee "similar or related" to the property being divested? No ☒ Yes ☐
- d. Is any of the property held in a tax-deferred retirement plan? Indicate which property is held in the plan in your response to Item 6. No ☒ Yes ☐
- e. Was any of the property acquired through an employee benefit plan (e.g., stock options, restricted stock, etc.)? Indicate which property was acquired in this manner and the type of employee benefit plan in your response to Item 6. No ☒ Yes ☐
- f. If any of the property is held in a trust, have you enclosed the trust agreement? N/A ☒ No ☐ Yes ☐
Indicate which property is held in a trust in your response to Item 6.

6. Provide any additional information that you would like OGE to consider when processing the request. (Use this space to address the timing of the request, if it is submitted after the deadline for divestiture.) (Please click here for a continuation page for response if needed.)

Mr. Garbow must comply with his ethics agreement by October 30, 2013 and EPA seeks from OGE the issuance of the certificates by October 11, 2013, if appropriate, so that Mr. Garbow may have sufficient time to divest these interests.

7. Print this document and submit the signed original with all enclosures to the following address: Director, U.S. Office of Government Ethics, 1201 New York Avenue, NW, Suite 500, Washington, DC 20005-3917.

Print

Reset

REQUEST FOR A CERTIFICATE OF DIVESTITURE
Continuation Page for Responses to Question 2

2. Provide a brief description of the employee's position or provide a citation to a statute that establishes the duties of the position.

The General Counsel serves as the primary legal advisor to the Administrator; provides legal service to all of the organizational elements of the Agency with respect to all programs and activities of the Agency; provides legal opinions, legal counsel, and litigation support; and assists in the formulation and administration of the Agency's policies and programs as legal advisor.

Print

Reset



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
GENERAL COUNSEL

MEMORANDUM

SUBJECT: Request for Certificate of Divestiture

FROM: Avi. S. Garbow,
General Counsel

TO: Brenda Mallory,
Principal Deputy General Counsel and
Designated Agency Ethics Official

Please request, on my behalf, a certificate of divestiture from the Office of Government Ethics (OGE) pursuant to section 1043 of the Internal Revenue Code with respect the following:

400 common shares of Bristol Myers Squibb Company
934 common shares of Eaton Corporation

My wife and I received these stock interests as gifts prior to my confirmation as the General Counsel of the United States Environmental Protection Agency. Pursuant to my ethics agreement, I agreed to divest these stock interests within 90 days of my confirmation. My compliance expiration date is October 30, 2013 and upon notification of the issuance or denial of these certificates from OGE, I will divest these interests before my ethics agreement compliance period ends.

I understand that such divestiture proceeds must be reinvested in "permitted property," as defined at 5 C.F.R. 2634.1003, during the 60-day period beginning on the date of the sale of the shares in order to take advantage of the non recognition of capital gains from my divestiture transaction.



Avi S. Garbow

7/23/13

Date

JUN 11 2013

Ms. Brenda Mallory
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Mallory:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of General Counsel of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

My spouse is employed by the Lawyers' Committee for Civil Rights Under Law. I will not participate personally and substantially in any particular matter involving specific parties in which the Lawyers' Committee for Civil Rights Under Law is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my position as a general partner of AvRa LLC. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which AvRa LLC is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will divest my interests in the following entities within 90 days of my confirmation: Eaton Corporation and Bristol Myers Squibb Company. With regard to each of these entities, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

If I rely on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of my financial interests, I will monitor the value of those interests. If the aggregate value of interests

affected by a particular matter increases and exceeds the *de minimis* threshold, I will not participate in the particular matter, unless I first obtain a written waiver under 18 U.S.C. § 208(b)(1).

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that I previously signed and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,

A handwritten signature in dark ink, appearing to read 'A. S. Garbow', with a long, sweeping horizontal line extending to the right.

Avi S. Garbow



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

JUN 12 2013

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE Form 278) submitted by Mr. Avi S. Garbow in connection with his nomination to be the General Counsel for the Office of General Counsel of the Environmental Protection Agency.

Mr. Garbow's letter to me describes his proposed ethics agreement and the steps that he will take if confirmed as General Counsel for the Office of General Counsel. He will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to him, unless he obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If he relies on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of his financial interests, he will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, he will not participate in the particular matter, unless he first obtains a written waiver under 18 U.S.C. § 208(b)(1).

I therefore determine that Mr. Garbow's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "B. Mallory", written over a horizontal line.

Brenda Mallory
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION III
1650 Arch Street
Philadelphia, Pennsylvania 19103-2029

DEC 29 2009

SUBJECT: Recusal from Particular Matters Related to Spouse's Employment

FROM: Shawn M. Garvin
Regional Administrator

A handwritten signature in black ink, appearing to read "Shawn M. Garvin".

TO: William C. Early
Deputy Regional Administrator and Deputy Ethics Official

Marcia E. Mulkey
Regional Counsel and Deputy Ethics Official

My spouse, (b) (6) is currently employed by United States Senator Edward E. Kaufman (Delaware). In order to avoid even the appearance of a loss of impartiality, I will take the following actions during my term as Regional Administrator for EPA Region III:

1. I will not attend any meeting that relates to my official capacity as Regional Administrator that is not open to the general public in which my wife participates in her official capacity as a representative of Senator Kaufman unless I have first consulted with and received approval from the Regional Counsel or the regional ethics counsel to attend; and,
2. I will not engage in any communications, either by telephone or electronic means, with my spouse in her official capacity as a representative of Senator Kaufman that relates to my official capacity as Regional Administrator.

When in doubt concerning any of the matters outlined herein, I will consult with agency Ethics Officials in a timely manner to ensure that I am not engaging in or about to engage in any action that could be construed as a violation or appearance of a violation of any ethics regulation and/or law.

cc: Justina Fugh, Senior Counsel for Ethics, Alternate Agency Ethics Official
Denise Harris, Assistant Deputy Ethics Official






UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION III
1650 Arch Street
Philadelphia, Pennsylvania 19103-2029

JAN 9 2017

MEMORANDUM

SUBJECT: Recusal Statement

FROM: Shawn M. Garvin 
Regional Administrator

TO: Gina McCarthy, Administrator

This memorandum confirms that I had sought and received ethics counseling from Justina Fugh, Senior Counsel for Ethics, when I was seeking and negotiating for employment with the State of Delaware. I properly filed a STOCK Act notification form and acknowledged that I was and now remain recused from participating personally and substantially in any particular matter in which the State of Delaware is or represents a party. I understand that my recusal applies to particular matters involving the State of Delaware as a specific party and also extends to particular matters of general applicability that affect all states.

Any particular matters in which the State of Delaware is or represents a party should be referred to Cecil Rodrigues, Deputy Regional Administrator, without my knowledge or participation. If there is a matter that is pending in the Region that may be subject to this recusal statement for which clarification is needed, then Cecil or Mary Coe, Regional Counsel, will be consulted. They will ensure that I do not participate in such matters inadvertently.

cc: Cecil Rodrigues, Deputy Regional Administrator
Mary Coe, Regional Counsel
Justina Fugh, Senior Counsel for Ethics





UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MAR 24 2009

OFFICE OF
GENERAL COUNSEL

The Honorable Robert I. Cusick, Director
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Cusick:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (SF 278) submitted by Cynthia Giles in connection with her nomination to be the Assistant Administrator for Enforcement and Compliance Assurance of the U.S. Environmental Protection Agency.

Ms. Giles's letter to me describes her proposed ethics agreement and the steps that she will take if confirmed as Assistant Administrator. She will not participate personally and substantially in any particular matter that has a direct and predictable effect on her financial interests or those of any person whose interests are imputed to her, unless she obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If confirmed, she will resign from her position as Vice President and Director of the Rhode Island Advocacy Center of the Conservation Law Foundation. For one year after her resignation, she will not participate personally and substantially in any particular matter in which the Conservation Law Foundation is a party or represents a party, unless she is authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

Because her spouse is employed at the Roger Williams University School of Law, she will not participate personally and substantially in any particular matter in which his employer is a party or represents a party, unless she first is authorized to do so pursuant to 5 C.F.R. § 2635.502(d). In addition, her spouse has agreed that he will not communicate with EPA on behalf of the Roger Williams University School of Law.

I therefore determine that Ms. Giles's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "Patricia K. Hirsch", written in a cursive style.

Patricia K. Hirsch
Designated Agency Ethics Official

Enclosures

MAR 21 2009

Ms. Patricia K. Hirsch
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Hirsch:

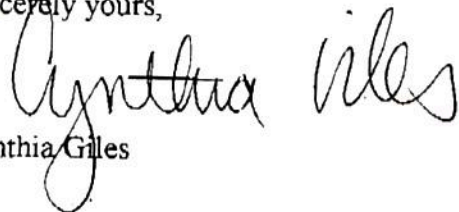
The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for Enforcement and Compliance Assurance of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my position as Vice President and Director of the Rhode Island Advocacy Center of the Conservation Law Foundation (CLF). For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which CLF is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is employed at the Roger Williams University School of Law from which he receives a salary. I will not participate personally and substantially in any particular matter involving specific parties in which the Roger Williams University School of Law is a party or represents a party, unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d). In addition, for the duration of my appointment to the position of Assistant Administrator for Enforcement and Compliance Assurance, my spouse has agreed not to communicate with U.S. EPA on behalf of the Roger Williams University School of Law.

Sincerely yours,


Cynthia Giles



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JUN 23 2009

OFFICE OF
ENFORCEMENT AND
COMPLIANCE ASSURANCE

MEMORANDUM

SUBJECT: Recusal Statement

FROM: Cynthia Giles
Assistant Administrator *Cynthia Giles*

TO: Office Directors
Office of Enforcement and Compliance Assurance

This memorandum sets forth my ethical obligations pursuant to the federal conflicts of interest statutes, the Standards of Ethical Conduct for Employees of the Executive Branch, Executive Order 13490, and the ethics pledge that I have signed. I ask that you review it carefully to assist me in ensuring that I do not participate inadvertently in any particular matter that is covered by this recusal statement. I will update this recusal statement periodically as circumstances warrant.

Financial conflicts of interest recusal

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver pursuant to § 208(b)(1), or qualify for a regulatory exemption pursuant to § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. At this time, I am not aware of any financial conflicts of interest.

Impartiality recusal

As required by 5 C.F.R. § 2635.502, I will not participate personally and substantially in any particular matter involving any of the following entities as specific parties, or in which they represent a party, until after the date specified below, unless I first inform the ethics lawyers in the Office of General Counsel (OGC) of the appearance problem and receive the appropriate authorization to participate in advance:

NAME OF ENTITY	DATE WHEN RECUSAL ENDS
Conservation Law Foundation	June 7, 2011
Ocean Special Area Management Plan stakeholder group	June 7, 2011

Recusals from specific lawsuits

Given my prior participation, I will not participate personally and substantially in any of the following matters while I serve at the US EPA:

CASE NAME	DURATION
Appeal of EPA NPDES Permit for the Upper Blackstone sewage treatment plant (Worcester, MA)	Permanent
Appeal of the EPA NPDES Permit for the town of Attleboro, MA	Permanent

Matters covered by this recusal are to be referred to the Principal Deputy Assistant Administrator, Catherine R. McCabe. I ask that you take all appropriate steps to ensure that you are familiar with this recusal statement to ensure that I do not participate in any matter covered by this recusal statement.

cc: Administrator
 Acting Deputy Administrator
 Assistant Administrators
 Acting Assistant Administrators
 Acting Associate Administrators
 Acting General Counsel
 Acting Inspector General
 Acting Regional Administrators
 Regional Counsels
 Ray Spears, Deputy Chief of Staff
 Patricia Hirsch, Designated Agency Ethics Official
 Justina Fugh, Senior Counsel for Ethics

DEC 28 2011

Ms. Brenda Mallory
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Mallory:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for the Office of Chemical Safety and Pollution Prevention of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

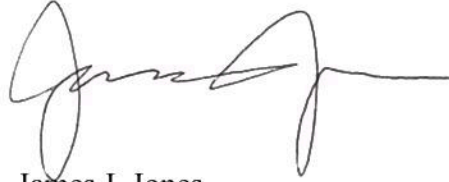
If I rely on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of my financial interests, I will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, I will not participate in the particular matter, unless I first obtain a written waiver under 18 U.S.C. § 208(b)(1).

Upon confirmation, I will resign from my position on the board of directors of Brookland Heartbeat. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which Brookland Heartbeat is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'James J. Jones', with a long horizontal flourish extending to the right.

James J. Jones



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

DEC 20 2011

OFFICE OF
GENERAL COUNSEL

Mr. Don W. Fox
Acting Director
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Fox:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE-278) submitted by Mr. James J. Jones in connection with his nomination to be the Assistant Administrator for the Office of Chemical Safety and Pollution Prevention of the United States Environmental Protection Agency.

Mr. Jones' letter to me describes his proposed ethics agreement and the steps that he will take if confirmed as Assistant Administrator. He will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to him, unless he obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If he relies on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of his financial interests, he will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, he will not participate in the particular matter, unless he first obtains a written waiver under 18 U.S.C. § 208(b)(1).

If confirmed, he will resign from his position on the board of directors of Brookland Heartbeat, a non-profit organization. For a period of one year after his resignation, he will not participate personally and substantially in any particular matter involving specific parties in which Brookland Heartbeat is a party or represents a party, unless he is first authorized by an Agency ethics official to participate pursuant to 5 C.F.R. § 2635.502(d).

I therefore determine that Mr. Jones' ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please contact Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,



Brenda Mallory
Designated Agency Ethics Official and
Principal Deputy General Counsel

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

APR 30 2015

OFFICE OF CHEMICAL SAFETY
AND POLLUTION PREVENTION

MEMORANDUM

SUBJECT: Recusal on Issues Related to Pioneer Energy Services, Saye Energy and Pioneer Natural Resources

FROM: James J. Jones
Assistant Administrator

TO: OCSPP Office Directors
OCSPP Deputy Office Directors
OGC PTSLO Associate General Counsel

This memorandum confirms that I am recused from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following three entities: the Pioneer Energy Services (formerly known as Pioneer Drilling Company), Saye Energy and Pioneer Natural Resources. The federal ethics regulations at 5 C.F.R. § 2635.502 dictate that I recuse from any particular matter involving specific parties that is likely to have a direct and predictable effect on the financial interest of a member of my household, or if I know that a person with whom I have a covered relationship is or represents a party to such matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question my impartiality in the matter. To avoid even the appearance of a loss of impartiality under the federal ethics regulations, I will not participate in any specific party matter involving these three companies unless I first have informed the Office of General Counsel/Ethics of the appearance problem and receive authorization from OGC to proceed.

Matters covered by this recusal are to be referred to Louise Wise without my participation. If you believe that there is a matter that is pending in my area of responsibility that may be subject to this recusal statement, then please consult with her or Angela Hofmann. They will ensure that I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.

cc: Louise Wise
Angela Hofmann
Justina Fugh, OGC



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

SEP 10 2013

OFFICE OF CHEMICAL SAFETY
AND POLLUTION PREVENTION

MEMORANDUM

SUBJECT: Recusal on Issues Related to Pioneer Drilling Company and Saye Energy

FROM: James J. Jones
Assistant Administrator

A handwritten signature in black ink, appearing to read "James J. Jones", is written over the name and title of the sender.

TO: OCSPP Office Directors
OCSPP Deputy Office Directors
OGC PTSLO Associate General Counsel

This memorandum confirms that I am recused from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following two entities: the Pioneer Drilling Company and Saye Energy.

The federal ethics regulations at 5 C.F.R. § 2635.502 dictate that I recuse from any particular matter involving specific parties that is likely to have a direct and predictable effect on the financial interest of a member of my household, or if I know that a person with whom I have a covered relationship is or represents a party to such matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question my impartiality in the matter. To avoid even the appearance of a loss of impartiality under the federal ethics regulations, I will not participate in any specific party matter involving these two companies unless I first have informed the Office of General Counsel/Ethics of the appearance problem and receive authorization from OGC to proceed.

Matters covered by this recusal are to be referred to Louise Wise without my participation. If you believe that there is a matter that is pending in my area of responsibility that may be subject to this recusal statement, please consult with Louise or Angela Hofmann. They will ensure that I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.

cc: Louise Wise
Angela Hofmann
Gloria Milhouse
Ryan Wallace
Andrea Mojica
Justina Fugh, OGC




UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MAR 28 2012

OFFICE OF CHEMICAL SAFETY
AND POLLUTION PREVENTION

MEMORANDUM

SUBJECT: Recusal on Issues Related to Pioneer Drilling Company and Saye Energy

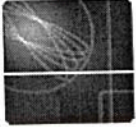
FROM: James J. Jones 
Acting Assistant Administrator

TO: OCSPP Office Directors
OCSPP Deputy Office Directors
OGC PTSLO Associate General Counsel

Effective immediately, I am formally recusing myself from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following two entities: the Pioneer Drilling Company and Saye Energy. The federal ethics regulations at 5 C.F.R. § 2635.502 dictate that I recuse from any particular matter involving specific parties that is likely to have a direct and predictable effect on the financial interest of a member of my household, or if I know that a person with whom I have a covered relationship is or represents a party to such matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question my impartiality in the matter. To avoid even the appearance of a loss of impartiality under the federal ethics regulations, I will not participate in any specific party matter involving these two companies unless I first have informed the Office of General Counsel/Ethics of the appearance problem and receive authorization from OGC to proceed.

Matters covered by this recusal are to be referred to Louise Wise without my participation. If you believe that there is a matter that is pending in my area of responsibility that may be subject to this recusal statement, please consult with her or Angela Hofmann. They will ensure that I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.

cc: Louise Wise
Angela Hofmann
Gloria Milhouse
Douglas Parsons
Teresa Green
Niva Kramik
Sherry Sterling
Bruce Berkley
Justina Fugh, OGC



approval of outside activity
Justina Fugh to: Robert Kaplan
Cc: Cheryl Klebenow

10/05/2011 04:50 PM

Hi Bob,

Here is a pdf copy of your approval for the uncompensated outside activity. Remember, please, that this approval does not extend to any representations you seek to make before any federal court, department, agency or other federal entity on behalf of your aunt. 18 USC 205 frowns on such representational activities. Otherwise, thanks for being a good nephew!
Justina

Justina Fugh | Senior Counsel for Ethics | Office of General Counsel | US EPA | Mail Code 2311A | Room 4308
Ariel Rios North | Washington, DC 20460 (for ground deliveries, use 20004 for the zip code) | phone
202-564-1786 | cell 202-731-3631 | fax 202-564-1772



kaplan.PDF



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 5
77 WEST JACKSON BOULEVARD
CHICAGO, IL 60604-3590

October 4, 2011

REPLY TO THE ATTENTION OF:

MEMORANDUM

SUBJECT: Request for Approval for Outside *Employment/Activity* pursuant to 5 CFR 6401.103.

FROM: Robert A. Kaplan
Regional Counsel, SES

A handwritten signature in black ink that reads "Robert A. Kaplan".

THRU: Catherine McCabe
Principal Deputy Assistant Administrator
Office of Enforcement & Compliance Assurance

TO: Justina Fugh
Senior Counsel for Ethics
Alternate Agency Ethics Official

Pursuant to 5 CFR 6401.103, I hereby request approval for outside employment and state the following in support of this request.

1. The nature of the outside activity, including a full description of the services to be performed:

My Aunt is in her late 80s and has requested me to provide assistance with some estate issues, including amending her revocable trust. I would draft the documents for her to sign.

2. The name and business of the person or organization for which the work will be done:

Assistance for a family member.

3. The estimated amount of time to be devoted to the activity:

3-4 hours.

4. The amount of compensation expected:

No compensation.

5. The basis for compensation (e.g., fee, per diem, per annum, etc.):

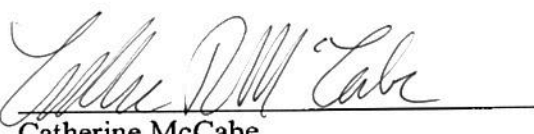
No compensation.

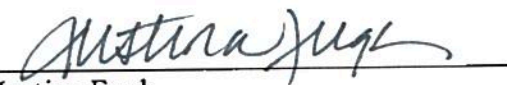
6. The service **WILL** be performed entirely outside of normal duty hours.

7. The person to or for whom services would be provided **does not** hold any EPA assistance agreements or contracts.

8. No official duty time or Government property, resources, or facilities not available to the general public will be used in connection with the outside employment.

9. I have read, am familiar with, and will abide by the restrictions described in 5 CFR part 2635 and 6401.102.

Approved by  Date: 10/4/11
Catherine McCabe
Principal Deputy Assistant Administrator
Office of Enforcement & Compliance Assurance

Approved by  Date: 10/5/11
Justina Fugh
Senior Counsel for Ethics
Alternate Agency Ethics Official

By signing this approval, the Deputy Ethics Official signifies that approval has been granted upon a determination that the outside employment is not expected to involve conduct prohibited by statute or Federal regulation, including 5 CFR part 2635 and 6401.102, as required by 5 CFR 6401.103.